



U.S. SECURITIES AND EXCHANGE COMMISSION

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Information for Harmed Investors

This page contains information about certain SEC enforcement actions. In some of these actions, funds have been paid by defendants or respondents to satisfy a judgment and the SEC, in its discretion, may seek to distribute these funds for the benefit of harmed investors. Some of the distributions in these cases are administered by SEC staff, and in other cases, a third-party Fund Administrator/Distribution Agent has been appointed by the Commission or court to administer the distribution. For more information regarding a certain SEC enforcement action, please see the list of cases below.

Please note this list does not include matters where a Receiver distributes funds. For information regarding those distributions, visit the [Receiverships](#) page.

Helpful resources:

- To find out whether a private class action relating to your investment has been filed, you can visit the website of the [Securities Class Action Clearinghouse](#).
- If your broker-dealer has gone out of business, you can visit the website of the [Securities Investor Protection Corporation](#) to find out whether the broker-dealer is in liquidation under the Securities Investor Protection Act and if so, how you can file a claim form.
- If you are aware of potential violations of the securities laws, please [submit a tip or complaint](#) online.
- [Distributions in Commission Administrative Proceedings: Notices and Orders Pertaining to Disgorgement and Fair Funds](#)
- [Investor Bulletin: How Harmed Investors May Recover Money](#)

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Search Cases:

AR Capital

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A

- [Abatement Corp. Holding Company Limited](#)
- [A.C.L.N., Ltd., Abderrazak "Aldo" Labiad, Joseph J.H. Bisschops, Alex de Ridder, BDO International \(Cyprus\), Minas Ioannou, Christakis Ioannou, Emerald Sea Marine, Inc., Pearlrose Holdings International, S.A., and Scott Investments S.A.](#)
- [Advanced Emissions Systems, Inc.](#)
 - [Mark McKinnies](#)
- [Aegon USA Investment Management, LLC, Transamerica Asset Management, Inc., Transamerica Capital Inc., and Transamerica Financial Advisors, Inc.](#)
- [AgFeed Industries, Inc., Songyan Li, Junhong Xiong, Selina Jin, Shaobo Ouyang, K. Ivan Gothner and Edward Pazdro](#)
- [AIC, Inc., Community Bankers Securities, LLC, Nicholas D. Skaltsounis, John B. Guyette and John R. Graves](#)
- [Aimsi Technologies, Inc., Reginald Hall, Harris Dempsey "Butch" Ballow, Everett Bassie, Winfried Fields and Bruce Charles Pollock](#)
- [Alexander Capital, L.P.](#)
- [Alexander S. Gould](#)
- [Alternate Energy Holdings, Inc., Donald L. Gillispie, and Jennifer Ransom](#)
- [Ameriprise Financial, Inc. \(formerly American Express Financial Corporation\)](#)
- [Anastasios P. "Tommy" Belesis](#)
- [Angelo Haliqannis, Sterling Watters Group LP, Sterling Watters Capital Advisors, LLC and Sterling Watters Capital Management, Inc.](#)
- [Angelo Mozilo, David Sambol and Eric Sieracki \(former executives of Countrywide Financial Corporation\)](#)
- [Anne M. Pember, Casper Sabatino, Kevin T. Kearney, and Cosmo Corigliano](#)

- Anthony Coronati and Bidtoask LLC
- Apollo Management V, L.P.; Apollo Management VI, L.P.; Apollo Management VII, L.P.; and Apollo Commodities Management, L.P.
- AR Capital, LLC, Nicholas S. Schorsch, and Brian S. Block
- Ascenergy LLC and Joseph Gabaldon
- Augustine Capital Management, LLC (f/k/a Augustine Capital Management, Inc.), John T. Porter, and Thomas F. Duszynski, CPA
- AVEO Pharmaceuticals, Inc., Tuan Ha-Ngoc, David Johnston, and William Slichenmyer

B

- Banc de Binary Ltd
- Bank of America, N.A., Banc of America Mortgage Securities, Inc., and Merrill Lynch, Pierce, Fenner & Smith, Inc. f/k/a Banc of America Securities LLC
- Bankrate, Inc.
 - Hyunjin Lerner
 - Edward DiMaria and Matthew Gamsey
- Bernard L. Madoff Investment Securities LLC
- Bethany Liou and Golden California Regional Center, LLC
- BitClave PTE Ltd.
- BKS Advisors, LLC and Robert T. Denha
- BioChemics, Inc., John J. Masiz, Craig Medoff and Gregory S. Kroning
- Blackbird Capital Partners, LLC, Andrew D. Kelley, and Paul H. Shumway
- BlueCrest Capital Management Limited
- BNY Mellon Securities LLC
 - Mark Shaw
- BP P.L.C.
- Brantley Capital Management, LLC, Robert Pinkas, and Tab Keplinger
- Broadwind Energy, Inc., J. Cameron Drecoll, and Stephanie K. Kushner
- Bruce D. Strebinger and Brent Howard Chapman

C

- Calvert Investment Distributors, Inc. and Calvert Investment Management, Inc.
- Calvert Investment Management, Inc.
- Canadian Imperial Holdings Inc. and CIBC World Markets Corp.
- Centaur Management Co. LLC
- Charles C. Slowey, Jr., Endeavor Partners, LLC, Endeavor Capital Management Group, LLC, Edward D. Puttick, S., Advanced Planning Securities, Inc., Gregory L. Oldham, Glenn R. Harris, and Oldham Harris, Inc.
- Charles L. Rizzo and Gina M. Hornbogen
- Charles W. Crouse and Norman R. Hess
- The Children's Internet, Inc., Nasser Hamedani, Sholeh Hamedani, Two Dog Net, Inc., Peter Perez, and Cort Poyner
- China Energy Savings Technology, Inc., New Solomon Consultants, Chiu Wing Chiu, Lai Fun Sim a/k/a Stella Sim, Sun Li, Jun Tang Zhao
 - Lee Chi Ling and Perfect Genius Limited
 - In the Matter of Moore Stephens Wirth Frazer & Torbet LLP and K. Dean Yamagata, CPA
- A Chicago Convention Center, LLC, Anshoo R. Sethi, and International Regional Center Trust of Chicago, LLC
- China Voice Holding Corp., David Ronald Allen, William F. Burbank IV, et al.
- Christopher Freeman Brogdon
 - Marrien Neilson
 - BOKF, NA
 - Lawson Financial Corporation and Robert Lawson
 - John T. Lynch, Jr.
- CIHC, Inc., Conseco Services, LLC, and Conseco Equity Sales, Inc.
- Citigroup Alternative Investments LLC and Citigroup Global Markets Inc.
- Citigroup Global Markets, Inc. (3-17808)
- Citigroup Global Markets, Inc.
 - Credit Suisse Alternative Capital, LLC (f/k/a Credit Suisse Alternative Capital, Inc.), Credit Suisse Asset Management, LLC, and Samir H. Bhatt
- Citigroup Inc.
- CKB168 Holdings Ltd., WIN168 Biz Solutions Ltd., CKB168 Ltd., CKB168 Biz Solution, Inc., Cyber Kids Best Education Ltd, Rayla Melcher Santos, Hung Wai Shern, Rui Ling Leung, Daliang Guo, Yao Lin, Chih Hsuan Lin, Wen Chen Hwang, Toni Tong Chen, Cheongwha Chang, Joan Congyi Ma, and Heidi Mao Liu
- Clayborne Group, LLC and Dean A. Heinemann
- Clovis Oncology, Inc., Patrick J. Mahaffy, and Erle T. Mast
- Coachman Energy Partners LLC and Randall D. Kenworthy